

(1390 REV. 5-93) US DEPT. OF COMMERCE PATENT & TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER
111675

**TRANSMITTAL LETTER TO THE
UNITED STATES
DESIGNATED/ELECTED OFFICE
(DO/EO/US) CONCERNING A FILING
UNDER 35 U.S.C. 371**

U.S. APPLICATION NO.
(if known, sec 37 C.F.R.1.5)

10/031240

INTERNATIONAL APPLICATION NO.
PCT/GB01/02292

INTERNATIONAL FILING DATE
May 23, 2001

PRIORITY DATE CLAIMED
May 24, 2000

TITLE OF INVENTION
IMPROVEMENTS TO FILTERS

APPLICANT(S) FOR DO/EO/US
Roger W. WHATMORE, Paul B. KIRBY, Qingxin SU, Eiju KOMURO

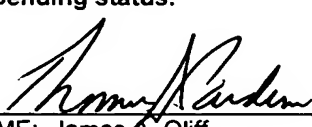
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
 - ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
 - ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
 - ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
 - ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
 - ☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ Entitlement to small entity status is hereby asserted.
16. ☐ Other items or information:

17 JAN 2002

| | | | | | |
|--|--------------|--|------------|---|---------------------|
| U.S. APPLICATION NO. (if known, See 37 C.F.R. 1.5) 10/031240 | | INTERNATIONAL APPLICATION NO. PCT/GB01/02292 | | ATTORNEY'S DOCKET NUMBER 111675 | |
| 17. <input checked="" type="checkbox"/> The following fees are submitted: Basic National fee (37 CFR 1.492(a)(1)-(5)): Search Report has been prepared by the EPO or JPO\$890.00 International preliminary examination fee paid to USPTO (37 CFR 1.482)\$710.00 No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2))\$740.00 Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO\$1,040.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)\$ 100.00 ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | CALCULATIONS | PTO USE ONLY |
| | | | | | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$ | |
| Claims | Number Filed | Number Extra | Rate | | |
| Total Claims | 30- 20 = | 10 | X \$ 18.00 | \$180.00 | |
| Independent Claims | 3- 3 = | 0 | X \$ 84.00 | \$ | |
| Multiple dependent claim(s)(if applicable) | | | + \$280.00 | \$ | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$1070.00 | |
| Reduction by 1/2 for filing by small entity, if applicable. | | | | - | \$ |
| SUBTOTAL = | | | | \$1070.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 month from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$ | |
| TOTAL NATIONAL FEE = | | | | \$890.00 | |
| | | | | Amount to be refunded | \$ |
| | | | | Charged | \$ |
| a. <input checked="" type="checkbox"/> Check No. <u>126969</u> in the amount of <u>\$890.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. <u>15-0461</u> . A duplicate copy of this sheet is enclosed. | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status. | | | | | |
| SEND ALL CORRESPONDENCE TO: OLIFF & BERRIDGE, PLC P.O. Box 19928 Alexandria, Virginia 22320 | | | | | |
| | | | |  NAME: James A. Oliff REGISTRATION NUMBER: 27,075 | |
| Date: <u>January 17, 2002</u> | | | | NAME: Thomas J. Pardini REGISTRATION NUMBER: 30,411 | |

| | | | | | |
|---|--|--|--|------------------------------------|--|
| U.S. APPLICATION NO. (If known, See 37 C.F.R. 1.5) 10/031240 | | INTERNATIONAL APPLICATION NO. PCT/GB01/02292 | | ATTORNEY'S DOCKET NUMBER 111675 | |
|---|--|--|--|------------------------------------|--|

| | | |
|--|---------------------|---------------------|
| 17. <input checked="" type="checkbox"/> The following fees are submitted: Basic National fee (37 CFR 1.492(a)(1)-(5)): Search Report has been prepared by the EPO or JPO\$890.00 International preliminary examination fee paid to USPTO (37 CFR 1.482)\$710.00 No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2))\$740.00 Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO\$1,040.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)\$ 100.00 ENTER APPROPRIATE BASIC FEE AMOUNT = | CALCULATIONS | PTO USE ONLY |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | \$890.00 | |

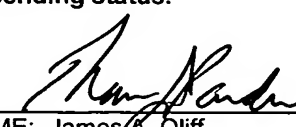
| | | | | | |
|---|--|--|--|----|--|
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$ | |
|---|--|--|--|----|--|

| Claims | Number Filed | Number Extra | Rate | | |
|---|--------------|--------------|------------|-----------------------|----|
| Total Claims | 30- 20 = | 10 | X \$ 18.00 | \$180.00 | |
| Independent Claims | 3- 3 = | 0 | X \$ 84.00 | \$ | |
| Multiple dependent claim(s)(if applicable) | | | + \$280.00 | \$ | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$1070.00 | |
| Reduction by 1/2 for filing by small entity, if applicable. | | | | - | \$ |
| SUBTOTAL = | | | | \$1070.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 month from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$ | |
| TOTAL NATIONAL FEE = | | | | \$890.00 | |
| | | | | Amount to be refunded | \$ |
| | | | | Charged | \$ |

| | |
|--|--|
| a. <input checked="" type="checkbox"/> Check No. <u>126969</u> in the amount of <u>\$890.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. <u>15-0461</u> . A duplicate copy of this sheet is enclosed. | |
|--|--|

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:
 OLIFF & BERRIDGE, PLC
 P.O. Box 19928
 Alexandria, Virginia 22320


 NAME: James A. Oliff
 REGISTRATION NUMBER: 27,075

Date: January 17, 2002

NAME: Thomas J. Pardini
 REGISTRATION NUMBER: 30,411